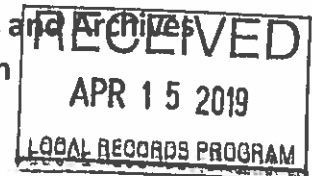




Kentucky Department for Libraries and Archives
Local Records Program



Grant Application

Please review *Local Records Grant Guidelines* and consult with your *Regional Administrator* before completing this form. Use extra sheets if necessary and attach three written, itemized, project bid proposals for each project section. Please send the completed forms to:

Local Records Branch
Kentucky Department for Libraries and Archives
P.O. Box 537
Frankfort, Kentucky 40602-0537

Part A: Contact Information

Applicant Name: Laurel Stivers
Applicant Title: Owen County Clerk
Office Address: 136 W Bryan St.
Owenton, KY 40359
Phone Number: (502) 484-2213
Email Address: laurel.stivers@ky.gov
Federal ID Number: 616000910

Part B: Project Summary

Total Funds Requested: \$ 3565.00

Please provide a complete description of the proposed project. Describe the project scope and the anticipated finished product(s). Explain why these records were selected for preservation as well as their historical significance and relevance to the community. Provide proposed methods for handling the records to ensure they conform to generally accepted archival and records management standards. See the guidelines for additional examples and attach additional sheets, if needed.

The Owen County Clerks Office is proposing to microfilm 12 Deed Books, 32 Mortgage Books,
2 Marriage Books, 1 Article of Incorporation Book, 19 Fiscal Court Books, 9 County Court Order Books, 4
Commissioner Deed Books, and all Plats from 2009 to present. This job would be a back up from the
years of 1986 to present day and the permanent record would be stored off-site to protect these files.



Kentucky Department for Libraries and Archives

Local Records Program

Plan of Work

Please list preferred project vendor(s) for each section, vendor addresses, and vendor phone numbers. (If not selecting lowest bid proposal, please attach a justification.)

Section 1

Vendor Name: Business Information Systems
 Vendor Address: 333 Industrial Park Rd.
Piney Flats, Tennessee 37686
 Vendor Phone and Email: 8665145192

Purpose: Security Microfilming ☒ Digitization ☒ Conservation ☐ Codification ☐ Salary ☐ Equipment/Supplies ☐
 (Select all that apply)

Records	Date	Series	Cost
<i>Example: Deed Books A-Z</i>	<i>1799-1858</i>	<i>L1317</i>	<i>\$6,255</i>
Deed Books 234-246, Mortgage Books 234-266, Marriage Books 7-9, Articles of Incorporation 5			
Fiscal Court Order Books 24-43, County Court Order Books NN-VV, Commissioner's Deed Book H-K	1987-2018		\$2280.00
Plat Cabinet 1 Pages 470-551	2009-2018		\$285.00
Diazo Cost for <u>25</u> Copies	@\$40.00/ea.		\$1000.00
Quality Control (Add 12.5% of the microfilming cost)			
Total Cost			\$3565.00

Section 2

Vendor Name: Imaging Office Systems, INC.
 Vendor Address: _____

 Vendor Phone and Email: _____

Purpose: Security Microfilming ☒ Digitization ☒ Conservation ☐ Codification ☐ Salary ☐ Equipment/Supplies ☐
 (Select all that apply)

Records	Date	Series	Cost
<i>Example: Shelving</i>	<i>N/A</i>	<i>N/A</i>	<i>\$9,040</i>
Document Filming @ \$.05 per image			\$3350.00
Document Filming @ \$.63 per image for plats (75)			\$47.25
One time set-up fee			\$265.00
Diazo Cost for <u>25</u> Copies	@\$29.00/ea.		\$725.00
Quality Control (Add 12.5% of the microfilming cost)			
Total Cost			\$4387.25

****Please Attach Additional Sections, if needed.****



Kentucky Department for Libraries and Archives Local Records Program

Commitment of Local Government:

Explain the local government's commitment to a comprehensive records management program (appropriate disposition of records, designation of a records officer, and training of records personnel in records management techniques). Please detail how your office will commit resources to this project (adequate office, storage or working space; personnel; supplies; equipment; or a monetary contribution).

The Owen County Clerk's Office will continue with the management of our records to help our customers and community with the resources that we have in our office.

Are these records stored in secure, fire resistant facilities? If no, please explain how the project will safeguard the records in questions.

Yes ☐ No ☒

The project we are asking for will be scanned and digitized. The microfilm will be stored in vaults for safe keeping.

Is access to these records in compliance with the state's Open Records Law (KRS 61.870-876) and in an area with proper security and supervision? If no, please explain how this project would ensure compliance.

Yes ☒ No ☐



Kentucky Department for Libraries and Archives Local Records Program

Part C: Project Outcomes

1. How will this project ensure the preservation of and/or increase public access to these records? What benefit will this project be to your agency and community? How will you disseminate information about this project and its outcomes to the public?

The microfilm project will ensure that a copy will be stored with The Kentucky Department for Libraries and Archives for safe keeping.

2. Did you consult with your Regional Administrator while completing this application? Yes ☒ No ☐

3. Can these records be removed from the office during the project? Yes ☒ No ☐ N/A ☐

4. In what format do these records exist? Select all that apply.

Paper ☒ Electronic Files ☒ Microfilm ☐ Microfiche ☐ Aperture Cards ☐

Other: _____

5. Can this project be completed within a single grant cycle (18 months)? Yes ☒ No ☐
(grant cycle for Salary grants is 48 weeks)

6. Additional information/comments:



Kentucky Department for Libraries and Archives Local Records Program

Part D: Certification

Statement regarding expenditure of funds: The applicant agrees that funds granted under the Local Records Program will be spent solely in accordance with the project description and budget statement presented in this application. The grant recipient acknowledges that any changes in the submitted plan of project work, funding, or length must be submitted in writing to, and approved in advance by, the Kentucky Department for Libraries and Archives.

Statement regarding archival and records management policies and procedures: The applicant agrees to comply with all policies, procedures, and standards deriving from Kentucky Revised Statutes, Kentucky Administrative Regulations, as well as the policies of the Kentucky Department for Libraries and Archives and the State Libraries, Archives, and Records Commission concerning management, preservation, reproduction, and storage of public records in addition to those dealing with the official recording of such records in government offices, whether on paper, microfilm, or other medium.

Statement regarding project status and financial expenditure reporting: The applicant agrees to submit biannual Project Status and Financial Expenditure Reports during the course of the project and at the end of the project as specified in the grant contract. The grant recipient also agrees to create a separate grant fund account, maintain separate financial and programmatic records on this project, and retain source documentation such as canceled checks, paid invoices, payrolls, or other accounting documentation, which would facilitate an audit as required by statute, regulation, or administrative procedure.

Statement regarding continued records management and preservation support: The applicant agrees to make budgetary allowance to continue the work begun by this project to better manage, preserve, and secure the current and future records of this agency. The applicant also recognizes that such an allowance is a necessary operating expense that must be budgeted for on a regular basis

Statement regarding the Americans with Disabilities Act: The applicant agrees to comply with the Title II provisions of the Americans with Disabilities Act and to submit to the Department, upon request by the Department, documentation that demonstrates compliance with the Title II requirements of the Americans with Disabilities Act.



Authorized Local Government Official

Casey Ellis Judge Executive

Typed or Printed Name and Title

04/11/2019

Date



Official Custodian of Records

Laurel P. Stivers Owen County Clerk

Typed or Printed Name and Title

04/11/2019

Date

Osborne, Daphne (Owen County Clerk)

From: Osborne, Daphne (Owen County Clerk)
Sent: Thursday, March 14, 2019 11:04 AM
To: Stivers, Laurel (Owen County Clerk)
Subject: Invitation for Bid - KDLA Grant

To Whom it May Concern,

I am applying for a grant from KDLA. I have attached the official Invitation to Bid and the specification for the records to be microfilmed are listed below. If you do not wish to bid, please send me an email with a "NO BID". Time is of the essence, please respond by April 01, 2019.

The contact for the digital images with BIS is Brandon.parker@bisonline.com.

Microfilm

Deed Books

234-246 (2007-2018)

Mortgage Books

234-266 (2007-2018)

Marriage Books

7-9 (2005-2016)

Articles of Incorporation

5 (1987-2015)

Fiscal Court Order Books

24-43 (2007-2018)

County Court Order Books

NN-VV (2007-2018)

Commissioner's Deed Books

H-K (1986-2017)

Plats

(2009-2018)



Owen County Clerk

136 West Bryan
Owenton, Kentucky 40359

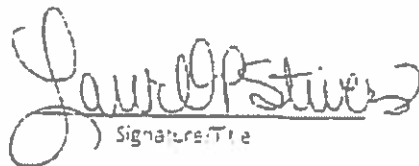
Phone (502) 484-2213
Fax (502) 484-1002

INVITATION FOR BID PROPOSAL

The Office of the **Owen County Clerk** is applying for a Kentucky Local Records Program grant and is now accepting bid proposals for services/equipment/supplies.

Special Conditions

1. Bid proposals for micrographics services will only be considered from offerers whose laboratories are certified by the Kentucky Department for Libraries and Archives, or from offerers who use certified laboratories to process their microfilm.
2. Work must be performed in accordance with applicable policies and regulations of the Kentucky Department for Libraries and Archives as stated in 725 KAR 1:050. Microfilm produced with grant funds must be tested and approved by the Department before authorization for payment will be given.
3. Copies of digital images created as a result of this project must be supplied to the Kentucky Department for Libraries and Archives upon completion of the project and before payment is rendered.
4. Offerers will supply all required diazo copies to the Kentucky Department for Libraries and Archives of any microfilm created as a result of the project once the primary copy has cleared quality control.
5. Roll microfilm used in this project must be polyester based.
6. Micrographics services offerers must indicate the roll length that will be used and provide an estimated roll count for each line item that is accurate to within one roll.
7. Grant funds may be expended for initial quality control costs. Costs accrued from additional quality control services will be the sole responsibility of the offerer.
8. Offerers for services must make an on-site examination of the materials before submitting a bid proposal. Special conditions or needs (photostats, bindings, physical conditions, formats, etc.) must be taken into account before a proposal is submitted. All proposals must include the date the on-site examination was made.
9. Clarification of terms, descriptions, conditions or specifications for equipment/supplies is the sole responsibility of the offerer.
10. Bid proposals must include separate, itemized price quotes for each line item of the proposed project, or section for which the offerer is making a proposal, and a total cost of all sections bid on.
11. Offerers must provide services or materials within the term of the grant following the beginning of the FY 19 and subsequent availability of state funds.
12. Written notification from the local agency and the signed, returned obligation statement shall constitute a legal obligation on the part of the offerer to provide the services as stated.
13. Selection of a bid proposal is contingent upon the award of the Local Records Program grant and subsequent availability of state funds.
14. Written proposals must be received no later than 04/01/2019 to be considered.


Signature/Title

Laurel P. Stivers
Printed Name

3/14/19
Date



March 19th, 2019

Laurel Stivers
Owen County Clerk
136 West Bryan
Owenton, KY 40359

Dear Laurel,

Business Information Systems (BIS) is submitting this proposal regarding your preservation project in response to your invitation for bid proposal dated 3/14/2019.

BIS has digitized millions of images that are being used today by over 300 government entities. These previous digitization projects have laid the foundation for a successful procedure for the Owen County Clerk's Office. BIS will meet and exceed the expectations of the Owen County Clerk's Office.

Please take a moment to review the enclosed proposal. The proposal includes answers to the *Special Conditions* section of your invitation, as set forth by the KDLA, as well as customer references, sample images and price quotations.

Any questions relating to this proposal should be directed to Jeremy Dulgar, Solutions Consultant, at 866.514.5192 or Jeremy.dulgar@bisonline.com. We look forward to working with you in the future.

Sincerely,

Jeremy Dulgar
Solutions Consultant
Business Information Systems



Business Information Systems
333 Industrial Park Road
Piney Flats, Tennessee 37686

Microsoft

Registered Microsoft Partner





Special Conditions per the Kentucky Department for Library and Archives w/ BIS responses:

Note: BIS responses are *italicized in blue*.

1. Bid proposals for micrographics services will only be considered from offerers whose laboratories are certified by the Kentucky State Archives and Records Commission, or from offerers who use certified laboratories to process their microfilm.

BIS' microfilm processes are certified by the Kentucky State Archives and Records Commission and are guaranteed to meet or exceed all quality standards.

2. Work must be performed in accordance with applicable policies and regulations of the Kentucky Department for Libraries and Archives as stated in 725 KAR 1:0550. Microfilm produced with grant funds must be tested and approved by the Department before authorization for payment will be given.

BIS maintains a very high standard of ethical business practices. Our policies conform to the Kentucky Department for Libraries and Archives' standards and regulations. As with past projects, BIS does not expect or anticipate payment until after each roll is tested and approved by the department.

3. Copies of digital images created as a result of this project must be supplied to the Kentucky Department for Libraries and Archives upon completion of the project and before payment is rendered.

BIS will provide the Kentucky Department for Libraries and Archives Copies of digital images upon completion.

4. Offerers will supply all required diazo copies to the Kentucky Department for Libraries and Archives of any microfilm created as a result of the project once the primary copy has cleared quality control.

BIS will submit the silver master to the Kentucky Department for Libraries and Archives once the primary copy has cleared quality control.

5. Roll microfilm used in this project must be polyester based.

BIS' microfilm utilizes a polyester base.



Business Information Systems
333 Industrial Park Road
Piney Flats, Tennessee 37686

Microsoft 
Registered Microsoft Partner



6. Micrographics services offerers must indicate the roll length that will be used and provide an estimated roll count for each line item that is accurate to within one roll. (Note that miscellaneous items that may be filmed together are indicated on the attached list.)

For the most efficient use of the storage facility, BIS utilizes 100', 131', and 200' rolls. Roll counts are calculated based on the number of images to be filmed and type of book.

8. Offerers for services must make an on-site examination of the materials before submitting a bid proposal. Special conditions or needs (photostats, bindings, physical conditions, formats, etc.) must be taken into account before a proposal is submitted. All proposals must include the date the on-site examination was made.

If necessary, BIS will perform an onsite evaluation of all materials. If an onsite evaluation cannot be made, a remote evaluation will take place via phone. BIS warrants that this proposal will meet all of Owen County's special conditions.

9. Clarifications of terms, descriptions, conditions or specifications for equipment/supplies is the sole responsibility of the offerer.

BIS will provide any further clarification of all terminology utilized in this proposal for the Owen County Clerk's Office and the KDLA when needed.

10. Bid proposals must include separate, itemized price quotes for each line item of the proposed project, or segment for which the offerer is making a proposal, and a total cost of all sections bid on.

BIS has constructed our proposal in line item format. The total price of the project can be viewed on the last line of the proposal.

11. Offerers must provide services or materials within the term of the grant following the beginning of the FY -19 and subsequent availability of state funds.

BIS has the capacity to satisfy the conditions of service in this proposal within the 2012-13 fiscal year.

12. Written notification from the local agency and the signed, returned obligation statement shall constitute a legal obligation on the part of the offerer to provide the services as stated.

Upon acceptance of our proposal, BIS accepts all legal obligations to fulfill any contractual agreements as outlined by Washington County and the KDLA.



Business Information Systems
333 Industrial Park Road
Piney Flats, Tennessee 37686

Microsoft

Registered Microsoft Partner





13. Selection of a bid proposal is contingent upon the award of the Local Records Program Grant and subsequent availability of state funds.

BIS shall not perform any services, provide any equipment, nor bill for either, prior to the receipt of grant funds.

14. Written bid proposals must be received no later than April 1st, 2019 to be considered.

BIS' proposal has been completed, as outlined, and shall be submitted within reasonable time prior to this deadline of April 1st, 2019.



Business Information Systems
333 Industrial Park Road
Piney Flats, Tennessee 37686

Microsoft 
Registered Microsoft Partner

PROPOSAL

Business Information Systems
333 Industrial Park Road
Piney Flats, TN 37686

Proposal Number: SAQ9615
Proposal Date: 03/18/19
Page: 1
Date and Time: 04/09/19 11:38:39

Sell

To: OWEN COUNTY CLERK
LAUREL STIVERS
136 WEST BRYAN STREET
OWENTON, KY 40359-1440

Ship Via
Ship Date 03/18/19
Terms Net 20

Customer ID OWE010
SalesPerson Jeremy Dular

Description	Unit	Qty	Unit Price	Total Price
<<<<<<<KDLA BID RESPONSE>>>>>>>				
16mm Microfilm Creation	ROLL(24.00	95.00	2,280.00
- Deed Books 234-246				
- Mortgage Books 234-266				
- Marriage Books 7-9				
- Articles of Incorporation 5				
- Fiscal Court Order Books 24-43				
- County Court Order Books NN-VV				
- Commisioner's Deed Books H-K				
35mm Microfilm Creation	ROLL(1.00	285.00	285.00
- Plat Cabinet 1 Pgs. 470-551 (2009-2018)				
Microfilm Duplicates - Diazo Copies	ROLL(25.00	40.00	1,000.00

**This quote does not include Target and L Series creation. If this process is required, please specify and add an additional \$1,000.00 to this bill total.

Amount Subject to Sales Tax	Amount Exempt from Sales Tax	Subtotal:	3,565.00
0.00	3,565.00	Invoice Discount:	0.00
		Total Sales Tax:	0.00
		Total:	3,565.00



April 1, 2019

Hon. Laurel P. Stivers, County Clerk
Owen County Clerk's Office
136 West Bryan Street
Owenton, KY 40359

Dear Laurie:

I appreciate the opportunity to earn your business. DRMS, Inc., has worked with local officials throughout the Commonwealth for 17 years and has completed dozens of Kentucky Department for Libraries and Archives (KDLA) Local Records Program grant projects. We take great pride in the quality of work of our scanning and security microfilming. We are certified by KDLA to do security microfilming, and we have an excellent track record with the quality of our security microfilm.

I've attached DRMS's proposal to convert digital images to security microfilm for the records in your request. If you have any questions, don't hesitate to contact me.

Sincerely,

Trace Kirkwood, Marketing Mgr.
DRMS, Inc.
270-519-9293
trace.kirkwood@drmsusa.com

1400 Husbands Road
PO Box 7256 Paducah KY. 42002-7256
270-443-1610



April 1, 2019

A PROPOSAL TO SECURITY MICROFILM VITAL, PERMANENT RECORDS IN THE OWEN COUNTY CLERK'S OFFICE

DRMS pricing is based on the Owen County Clerk's Office's software vendor providing the images to be converted to security microfilm.

DRMS, Inc., will convert digital images to security microfilm for the following records:

13	Deed Books, #234-246 (2007-2018)	\$ 609.00
33	Mortgage Books, #234-266 (2007-2018)	\$ 1,560.00
3	Marriage Books, #7-9 (2005-2016)	\$ 200.00
1	Article of Incorporation Book, #5 (1987-2015)	\$ 100.00
20	Fiscal Court Order Books, #24-43 (2007-2018)	\$ 1,020.00
9	County Court Order Books, NN-VV (2007-2018)	\$ 500.00
4	Commissioner Deed Books, H-K	\$ 400.00
	Plats (Sleeves 475-552) (2009-2018)	\$ 800.00
	Document Preparation	\$ 3,183.00
	Nineteen (19) rolls of 16mm X 100' security microfilm	\$ 570.00
	Four (4) rolls of 16mm X 215' security microfilm	\$ 144.00
	One (1) roll of 35mm X 131' security microfilm	\$ 36.00
	Writing film on ArchiveWriter	\$ 2,068.00
	Developing security microfilm	\$ 600.00
	Diazo copies	\$ 3,000.00
	Total Cost of Project	\$14,790.00

1400 Husbands Road
PO Box 7256 Paducah KY. 42002-7256
270-443-1610



April 1, 2019

Hon. Laurel P. Stivers, County Clerk
Owen County Clerk's Office
136 West Bryan Street
Owenton, KY 40359

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270-519-9293
trace.kirkwood@drmsusa.com

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April 1, 2019

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9	County Court Order Books, NN-VV (2007-2018)	\$ 500.00
4	Commissioner Deed Books, H-K	\$ 400.00
	Plats (Sleeves 475-552) (2009-2018)	\$ 800.00
	Document Preparation	\$ 3,183.00
	Nineteen (19) rolls of 16mm X 100' security microfilm	\$ 570.00
	Four (4) rolls of 16mm X 215' security microfilm	\$ 144.00
	One (1) roll of 35mm X 131' security microfilm	\$ 36.00
	Writing film on ArchiveWriter	\$ 2,068.00
	Developing security microfilm	\$ 600.00
	Diazo copies	\$ 3,000.00
	Total Cost of Project	\$14,790.00

1400 Husbands Road
PO Box 7256 Paducah KY. 42002-7256
270-443-1610



Digital to Film Proposal

For

Owen County Clerk

**Prepared by: Dennis Sloan
March 27, 2019**



Document Conversion Overview

Imaging Office Systems (IOS) is one of the largest and most technically sophisticated document conversion companies in the United States. This high degree of technical acumen and scope is a direct result of IOS being a leading system integrator for a variety of document imaging systems with hundreds of installations. This translates into an ability to handle all types of documents, all varieties of deliverables, data merges, and uploads to existing imaging systems as well as extensive experience with business process outsourcing or BPO. IOS is also staffed with an in-house Professional Services Group that specializes in older or legacy system conversions, programming and consulting.

With its footprint of five separate conversion centers all operating identically, IOS is able to convert five million images per month, from any media to any media. Performing these services since 1972, the knowledge of applications and regulatory compliance requirements is a major component of IOS's expertise. Document Management is the sole core competency for IOS with 100% of their revenue coming from it.

Security

IOS is dedicated to providing a secure environment for the conversion of customers' documents and data. Some of the steps taken to secure IOS infrastructure, physical plants, and client records in the five conversion facilities are as follows:

Network Security:

- IOS uses advanced security CISCO technology.
- McAfee anti-virus software is required on all IOS workstations.
- McAfee anti-virus software is updated daily.
- All computers and mobile devices are configured with a security screen lock set to activate after no more than 15 minutes of idle time. This screen lock must not be the same as any other credentials used within the organization.
- All external Instant Messaging has been disabled on all IOS workstations.
- Firewalls and routers are actively monitored 24/7.
- MS Active Directory is integrated and access is tightly controlled. Audit logs are actively monitored and admin access is changed regularly.
- IOS passwords are required to be changed regularly and have a set of high complexity rules e.g. non-dictionary.
- IOS maintains a secure FTP services for use when the customer cannot provide one.
- When the IOS FTP service is used:
 - A username and PW will be provided to the customer.
 - Contact will be made prior to a scheduled transfer.
 - Contact will be made when the transfer is complete.
 - IOS will immediately download and remove the data from the FTP site.



- IOS lab workstation software is locked down and can only be changed by a System Administrator.
- IOS does not allow personal data devices (e.g. iPods, Cell Phones, camera) in any labs.
- Foreign Media: any media that originated outside of IOS or has been brought into IOS is considered foreign and must be fully virus-scanned before being introduced into the service bureau.
- All external devices or computers are considered foreign media; no network connection without virus scanning.
- IOS does not provide a guest Wireless network due to security issues.

Physical Security of the Premises

- IOS scanning and records storage facilities are equipped with intrusion and fire alarm systems; monitored 24/7 with cellular backup.
- All guests are escorted when entering a restricted area of any facility.
- IOS labs are equipped with keypad or swipe card reader access for employees.
- Document storage security – in our main facilities all documents are caged.
- All guests must sign a security and non-disclosure form and are manually escorted through the facility.
- Guests are not allowed to have any electronic devices in production areas.

IOS Security and Privacy Policies

- All production and storage employees must pass a background security check as a condition of employment.
- All new employees are trained on security and privacy prior to starting work.
- All employees receive HIPAA, HITECH, and Graham-Leach-Bliley training prior to starting work.

IOS Process controls begin with the "Chain of Custody" in the Transportation of your Documents.

- IOS vehicles and IOS personnel are used for all regional client pick-ups.
- IOS delivery trucks are locked at all times.
- IOS drivers are insured and required to carry a picture ID.
- All pick-ups and deliveries include IOS transmittal forms either created by Bar Code or a manual manifest. This begins the "Chain of Custody" for the documents.



IOS Process for Retrievals

When a file is requested while in IOS possession, the request is fulfilled utilizing the IOS On-Line system called MyIOS. This portal is SSAE 16 Certified.

- MyIOS supports unlimited users and unlimited requests from anywhere at any time.
- Retrievals occur within four hours of the request, negating the need for a physical "rush" transport back to requestor by vehicle.
- My IOS generates receipts for all file requests and notifies a client when a file is available for retrieval.
- No requested physical documents require faxing as the requested file is scanned as a multi-page PDF and posted to a private, secure internet portal.
- The portal and system for these retrievals is SSAE 16 Certified.
- Access is tracked and user reports are available to the customer administrator upon request.

Quality System and Process

IOS has instituted an internal quality control process in order to be compliant with FDA's 21 CFR Part 820 and our FDA Tier 1 Supplier status. This regulatory requirement, though specific to the FDA, is similar to ISO 9002 and translates into quality guidelines for other regulated industries such as FAA, Finance, and Healthcare. In fact, the demands that this Quality System place on IOS actually benefit all clients regardless of type. Here are some aspects of this requirement:

- An audit plan is maintained to ensure the conformance of all aspects of the quality system. Audit criteria, scope, frequencies, and methods are defined.
- The Quality Management System is formally audited at least once per year. The significance of the activity to be audited and previous audit results are used as a basis to determine the frequency of future audits.
- The initial delivery to the client is limited in size – typically one box- so the client may see the finished product and make any changes without the penalty of a large portion of work already completed. This initial "Acceptance Delivery" must be signed off by the client before full production may begin and is a requirement of the Quality System.
- Any changes from the initial project instructions that both parties have agreed to require a formal change order with both parties' signatures to ensure no mismatched expectations as well as an audit trail for the requested change.
- Employees performing one role such as scanning or indexing are not allowed to perform quality inspections and validation on the same work.
- Any error requires IOS to issue a formal QIR (Quality Incident Report) both internally and to the client.



- If an error occurs the employee is notified and depending on the error type is mandated for retraining or possible termination.
- The Director of Conversion Services is responsible for the training process.
- Audits are performed by qualified personnel independent of the area being audited.
- Audit recaps are reviewed by the Quality Manager with Management to evaluate the effectiveness of the Quality Management System.
- Persons performing work that affects quality are qualified and are made aware of defects that may occur from the improper performance of their jobs. They possess the necessary training, skills, and/or experience, as appropriate.

Once in-house, the IOS process controls the client records through our Job Tracker Software:

- Imaging Office Systems has created production software, Job Tracker, that audits all functions and aspects of the document conversion process. Job Tracker is unique to IOS and enhances the custodianship of client files.
- IOS prepares an inventory of all documents picked up at the customer's site. When boxes arrive at an IOS conversion center the inventory list is entered and tracked in the Job Tracker system for processing.
- Each box is labeled with a unique bar code for tracking. As the box is moved from one conversion step to next, the bar code is read at each processing step. Job Tracker tracks individual boxes in each phase of the conversion. This ensures the security and tracking of each box of documents.
- Job Tracker can provide the client with the name of every IOS employee who had access to their information during every phase of conversion.
- For project uniformity and adherence to specifications, Job Tracker creates machine-generated written instructions for all phases of the project; preparation, indexing, scanning, quality control, and deliverable.
- Job Tracker continuously reports on the status of each project as well as the status of each individual box of records, tracking it as it moves through the system.
- Job Tracker identifies and tracks as an audit report each and every employee who touches a client record and project, be it document preparation, scanning, indexing, or Quality Control inspection.
- Job Tracker generates both packing slips and destruction notices.

Acceptance Delivery:

As mentioned, every IOS client will receive as the first deliverable of the project an acceptance delivery. This delivery is the first production run, and the client must review and sign an acceptance that it is accurate.



The acceptance test will be delivered to the client typically accompanied by the hard copy included in that test so that the client can make an informed decision that this work is satisfactory by comparing the digital images to the actual pages. Only when the client signs off on the acceptance test will the true production begin.

The acceptance quality process and proceeding quality checks for production deliveries are reviewed as follows:

First Step: By software default, all scanned images are displayed to the scanning operator at the scan station. This ensures that the operator can see if any images are mis-fed or do not display. Due to the sophistication of the scanners that we utilize this is rare, as the scanners actually sense the average weight of the documents to prevent or minimize double feeds, but it can occur.

Second Step: A separate clerk in our quality control department actually views 100% of every image scanned looking for poor images or turned corners obscuring information etc.

Third Step: This step now involves page to image comparison. As that suggests, a QC clerk is now comparing the actual client document to the scanned image of that document primarily to ensure that all actual pages were captured as well as comparing the quality of the page to the scanned image. Each new job is separated into three job runs:

- The first run which we refer to as the acceptance test enjoys a 100% actual page to image comparison
- The second run which typically makes up about 10 – 15% of the total runs enjoys a 50% image to image comparison
- The third run and balance of the job enjoys a 10% image to page comparison

Additionally, due to the Quality system, errors discovered during these inspections result in internal audits with penalties or re-assignment of the operator. These mini real time audits occur continually as well, with scanning operators reporting on quality of the document preparation, QC operators reporting on quality and accuracy of the scanned images and so on.

IOS Services

Document preparation	Project management	Imaging system integration
Document scanning	Repository tracking	Database design assistance
Digital output to microfilm	Indexing	Consulting
16 and 35mm microfilm scanning	On-Site Scanning / filming	PDF conversion
Digital to Film Archive Writing	Data conversion to CD OCR and OCR clean-up	E-size conversion

IOS Process - Summary

- Pickup and delivery by insured IOS personnel and IOS vehicle
- Job documentation created and reviewed by separate entities
- Custom IOS tracking software to monitor individual project progress
- MYIOS to allow access of client documents while in our possession
- Image quality review at multiple independent stages
- Documented Project Manuals and Job Worksheets
- Machine generated image to index count comparison
- Match and merge "Client" data files utilized to reduce manual keystroke and increase accuracy
- "Check In / Check Out" of all client projects at every stage of conversion process ensuring control and confidentiality
- Acceptance Delivery and sign off
- Written and signed Change Orders
- Data and document destruction forms with client sign off

Time Frame

Once IOS receives the signed contract the following estimated time frame will be:

- Project design and internal project programming – 4 weeks to complete first acceptance delivery to client.
- Client signs off acceptance after review ensuring no mismatched expectation.
- After client acceptance is signed full production immediately commences.
- Regular deliveries begin.
- Delivery schedule will be agreed to with client prior to project inception.



Business Problem Recap

- Owen County Clerk is accepting bids to archive books and plats on microfilm.

Project Requirements

- 67,000 estimated documents (volume via BSI)
- 75 Plats
- Average Document Sizes: 8 ½ x 14
- Documents will be scanned at 300 dpi
- Images and data will be delivered back to client via 16MM 10' Silver film and 35MM Silver film for plats
- A Diazo duplicate roll for each

Estimated Scanning Cost

Books with an estimated 67,000 images

Document Filming@ \$.05 per image	\$3350.00
Document Filming @.63 per image for plats (75)	\$47.25
Duplicate Diazo Film \$29.00 per roll ~24 rolls	\$696.00
Duplicate Diazo Film 35MM ~1 roll	\$29.00
One time set-up fee	\$265.00
Total Estimate based on volume # from BSI	\$4387.25

Pricing shown above is a complete and bundled per image price and includes the following:

- Secure transportation with IOS trucks and IOS personnel
- Quality control measures as specified by FDA's 21 CFR Part 820 quality system including defined page to image verification
- Acceptance Delivery with client sign off
- Assigned Project Manager (Certified Six Sigma Green Belt)
- Change Orders
- MYIOS: secure SSAE 16 Scan On Demand for retrieval requests by client while documents are in IOS custody

*The Document Scanning cost is an estimated cost. **Client** will only be invoiced for actual pages converted (cost highlighted in bold). Please reference IOS Purchase Agreement.